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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

INTERNATIONAL FILING DATE

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

025455-093

CATION No. (If known, see 37 C.F.R. 1.5) 83040

INTERNATIONAL APPLICATION NO. 08/11/99 08 NOVEMBER 1999 PCT/IB99/01784

PRIORITY DATE CLAIMED 09/11/98 **09 NOVEMBER 1998**

TITLE OF INVENTION

123

i.

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19.

COMPACTION ROLLER

APPLICANT(S) FOR DO/EO/US

1) Eric Johnston COOK, 2) Christoffel Avril MIJBURGH

Applicant herewith submits to	the United States	Designated/Elected Office	(DO/EO/US) the following	g items and other information:

- This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 1.
- This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
- This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and the PCT Articles 22 and 39(1).
- A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - is transmitted herewith (required only if not transmitted by the International Bureau).
- 100 has been transmitted by the International Bureau. O
 - is not required, as the application was filed in the United States Receiving Office (RO/US)
- 6. A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - are transmitted herewith (required only if not transmitted by the International Bureau).
 - have been transmitted by the International Bureau.
 - have not been made; however, the time limit for making such amendments has NOT expired.
 - have not been made and will not be made.
- 8 A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 9.
- A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

- An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- A FIRST preliminary amendment.
- A SECOND or SUBSEQUENT preliminary amendment.
- A substitute specification.
- A change of power of attorney and/or address letter.
- Other items or information:

PUBLICATION WO 00/28155

U.S. APPLICATION NO. III known,/ see 309. /508 30 40 3 TERNATIONAL APPLICATION NO.					ATTORNEY'S DOCKET NUT 025455-093				
17.	⊠	The following	fees are submitted:			CALCULA	TIONS	PTO US	E ONLY
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Alan E. Kopecki, Esq. BURNS, DOANE, SWECKER & MATHIS, L.L.P. P.O. BOX 1404									
	Alexandria, Virginia 22313-1404 (703) 836-6620 Alan E. Kopecki NAME								-
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Applicant or Patentee:		CHNOLOGY (SOIL) LIMITED	'Attorney's
Serial or Patent No.: _ Filed or Issued: 2			Docket No.:
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hereby declare that I [] the owner of: [X] an official of	the small business con	icern identified below: ncern empowered to act on behalf o	f the concern identified below:
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Patent Attorney's Docket No. 025455-093

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

Prior to examination, please amend the subject application as follows.

IN THE CLAIMS

Amend claims 3, 5, 6, 7 and 10 as follows:

- (Amended) A soil compaction roller according to claim 1 wherein the salient points are equi-angularly spaced about a central axis of the roller and are equidistant from that axis.
- (Amended) A soil compaction roller according to claim 1 wherein each compacting face is smoothly curved.
- (Amended) A soil compaction roller according to claim 1 wherein each compacting face comprises a plurality of flat facets which in combination form an outwardly convex shape.

- 7. (Amended) A soil compaction roller according to claim 1 comprising a first series of wear plates defining the salient points and a second series of wear plates defining the compaction faces.
- 10. (Amended) A soil compaction machine comprising a soil compaction roller according to claim 1.

REMARKS

The present amendment is requested to delete reference to the multiple dependencies in the original claims for calculation of the U.S. filing fee(s).

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

By:

Alan É. Kopecki Registration No. 25,813

P.O. Box 1404 Alexandria, Virginia 22313-1404 (703) 836-6620

Date: April 27, 2001

Attachment to Amendment dated April 27, 2001 Marked Copy: Claims 3, 5, 6, 7 and 10 [As Amended]

- 3. (Amended) A soil compaction roller according to [either one of the preceding claims] <u>claim 1</u> wherein the salient points are equi-angularly spaced about a central axis of the roller and are equidistant from that axis.
- (Amended) A soil compaction roller according to [any one of the preceding claims] <u>claim 1</u> wherein each compacting face is smoothly curved.
- 6. (Amended) A soil compaction roller according to [any one of claims 1 to 4] <u>claim 1</u> wherein each compacting face comprises a plurality of flat facets which in combination form an outwardly convex shape.
- 7. (Amended) A soil compaction roller according to [any one of the preceding claims] <u>claim 1</u> comprising a first series of wear plates defining the salient points and a second series of wear plates defining the compaction faces.
- (Amended) A soil compaction machine comprising a soil compaction roller according to [any one of the preceding claims] <u>claim 1</u>.

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COMPACTION ROLLER

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BACKGROUND TO THE INVENTION

THIS invention relates to a compaction roller.

Traditionally, soil compaction has been carried out either by means of round rollers with considerable mass or vibratory rollers. In relatively recent times, impact compaction as described in, for instance, the specification of United States patent US 2,909,106, has been used in soil compaction activities. Impact compactors have been demonstrated to achieve high levels of soil compaction at some depth below the surface but in some cases they may not be really effective for compaction of layer works where a relatively shallow surface zone of the soil mass has to be compacted. Depending on the soil conditions the impact roller of an impact compactors may have a tendency merely to disturb the surface layer rather than compact it effectively.

The impact roller of a conventional impact compactor may also have a tendency to create localised depressions in the soil surface, requiring subsequent smoothing operations them. They may also generate shock loads both on the towing tractor and on the soil mass and can have a relatively low operating speed.

SUMMARY OF THE INVENTION

According to the invention there is provided a soil compaction roller comprising a multi-sided, out-of-round, peripheral compacting surface which can roll over a soil surface which is to be compacted, the compacting surface being defined by a plurality of angularly spaced salient points and a corresponding plurality of compacting faces, each compacting face being outwardly convex in shape and extending continuously between two adjacent salient points.

Further according to the invention there is provided a soil compaction roller comprising a multi-sided, out-of-round, peripheral compacting surface which can roll over a soil surface which is to be compacted and which is defined by a plurality of angularly spaced salient points and intermediate compacting faces which are outwardly convex in shape and extend between the salient points, whereby when the roller is operative with the compacting surface rolling over the soil surface, the roller rises up on each salient point in turn, storing potential energy, and thereafter rolls downwardly onto the succeeding compacting face to transmit the stored potential energy to the soil surface to compact it, the instantaneous centre of rotation of the compacting surface, where it contacts the soil surface during rolling, moving continuously about substantially the full extent of the compacting surface.

The geometry of the roller is preferably such that the salient points are equiangularly spaced about a central axis of the roller and are equidistant from
that axis, and each compacting face is symmetrical about a radial bisector of
the two salient points between which the compacting face extends. The
compacting face may be smoothly curved or composed of a plurality of flat
facets which in combination form an outwardly convex shape.

Another aspect of the invention provides a soil compaction machine comprising a soil compaction roller as summarised above. The machine may have a pair of the rollers arranged side by side with one another.

In the dual roller configuration there are various possibilities. For instance, the soil compaction rollers may be mounted on a common axle in the manner described for impact compaction rollers in ZA80/2099 (=EP 0 017 511). Alternatively the rollers may be suspended independently on separate axles as described for impact compaction rollers in PCT/IB99/00906. The machine may be self-propelled as described for an impact compaction machine in PCT/GB96/01708 (WO 97/04179), or it may include coupling means for coupling it to a tractive vehicle such as a tractor. The machine may also incorporate an auxiliary drive arrangement for delivering an auxiliary rotary driving force to the rollers as described for a dual roller impact compaction machine in PCT/GB98/01400 (WO 98/51866).

BRIEF DESCRIPTION OF THE DRAWINGS

The invention will now be described in more detail, by way of example only, with reference to the accompanying drawings in which:

Figure 1 shows a perspective view of a compaction roller according to this invention;

Figure 2 shows a side view of the compaction roller;

Figure 3 shows an end view of the compaction roller;

Figure 4 shows a cross-section at the line A-A in Figure 2; and

Figure 5

shows a soil compaction machine incorporating two compaction rollers, according to the invention.

DESCRIPTION OF PREFERRED EMBODIMENTS

The illustrated multi-sided compaction roller 10 has a central hub 12 located on a central axis 14 and a peripheral compacting surface 16 which is joined to the hub by radial spokes 18. The compacting surface 16 is defined by six salient points 20 which are equi-angularly spaced apart and equidistant from the central axis 14, and six intermediate compacting faces 22 extending between the salient points. The compacting faces 22 are identical to one another and each has a smooth, convex curvature which is symmetrical about a radial bisector of the two salient points 20 between which it extends. For example, the compacting face 22.1 is symmetrical about the radial bisector 24 of the two salient points 20.1.

The salient points 20 and faces 22 of the compaction surface 16 are formed by curved wear plates 26 and 28 respectively which are mounted to the ends of the spokes 18. The assembly of plates 26 and 28 is stiffened by ribs 30 which are located at the lateral edges of the plates and which are connected to the plates and to the lateral extremities of the spokes 18.

In operation of the compaction roller 10, the hub 12 is mounted on an axle supported by a carriage which is towed by a suitable towing vehicle, such as a tractor (not shown). In practice, there may be two similar compaction rollers arranged side by side. In this case the compaction rollers may be mounted on a common axle or they may be independently suspended.

The specification of South African patent ZA 80/2099 (= EP 0 017 511) describes an apparatus in which two impact compaction rollers are mounted side by side on a common axle. A similar mounting arrangement may be used to mount compaction rollers 10 on a common axle.

PCT/IB99/00906 describes an apparatus in which two impact compaction rollers are suspended independently in a side by side configuration and, once again, a similar mounting arrangement can be used for dual compaction rollers 10, as shown in Figure 5.

It is also within the scope of the invention for there to be a single compaction roller 10 only, in which case the roller may be mounted in the manner described in the specification of United States patent US 2,909,106.

It is also within the scope of the invention for the compaction roller(s) 10 to form part of a self-propelled machine which may, for instance, be of the type described in the specification of PCT/GB96/01708 (WO 97/04179).

EP 0 017 511, PCT/IB99/00906, US 2,909,106 and WO 97/04179 describe impact compaction machines in which each compactor mass, as it rolls over a soil surface which is to be compacted, alternately rises up on a salient point, storing potential energy, and then falls forwardly and downwardly for the stored potential energy to be delivered to the soil surface as an impact blow by a compaction face which follows the salient point. As mentioned previously, while this compaction technique has been proved to be effective to produce high levels of soil compaction at considerable depths below the soil surface, they have several disadvantages at least in some applications.

The compaction roller 10 does not act in the manner of an impact compaction roller. As it rolls over the soil surface, it rises up on each salient point 20 and then rolls forwardly and downwardly onto the succeeding compacting face 22. Potential energy which is stored as the roller rises on a salient point is applied to the soil surface as the roller rolls onto the succeeding face 22, but this happens in a far smoother manner than is the case with an impact compaction roller. This is attributable *inter alia* to the convex shape of the sides 22 which allows for a smooth transition from each raised, potential energy storage position to a succession of relatively lowered positions as the convex surface of the following face 22 rolls over the soil surface. The instantaneous centre of rotation, i.e. the point at which the compacting surface 16 makes line contact with the soil surface and about which the roller rotates instantaneously relative to the soil surface, moves continuously about substantially the full extent of the surface 16.

The action of the roller 10 may be likened to a continuous kneading action as opposed to the periodic impact action of an impact compaction roller.

The effect of this is that the soil surface experiences compacting pressure throughout the full rotation of the roller 10, i.e. at all angular positions of the roller. As the roller rises onto a salient point 22, the compacting pressure is experienced as a result of the reaction force applied to the soil surface by the roller, and as the roller subsequently rolls forwardly and downwardly onto a compacting face 22, the compacting force is experienced as a result of the stored potential energy being transmitted to the soil surface.

This action is in contrast to the action of an impact compaction roller. In the case of impact compaction rollers having flat sides, the only centres of rotation are at the salient points or corners of the roller.

There is no continuous movement of an instantaneous centre of rotation about the peripheral compacting surface of the roller. In the case of impact compaction rollers having a re-entrant recess between each salient point and the subsequent compacting face, the centre of rotation jumps from the salient point to an angularly spaced point on the compacting face. Hence there is once again no continuous, smooth motion of an instantaneous centre of rotation about the full extent of the peripheral compacting surface.

In contrast to the smooth and continuous application of compacting pressure to the soil surface with the roller 10, both types of impact roller mentioned above apply abrupt, non-continuous pressure spikes to the soil surface, resulting in disturbance of the soil mass adjacent the soil surface but often little effective compaction of that mass.

Because of its ability to apply smooth and continuous pressure to the soil surface, a roller 10, on the other hand, has been demonstrated in initial tests to have the ability to achieve effective compaction right to the surface of a soil mass. This makes the roller 10 eminently suitable for use in compacting layer-works.

Added to this, the smooth application of compacting pressure with the roller 10 results in a relatively smooth, compacted soil surface. This is again in contrast to the operation of an impact compaction roller, where localised indentations are created in the soil surface which must subsequently be smoothed, typically by blading.

With the illustrated roller 10 adequate levels of soil compaction can also be achieved without the substantial shock loads experienced in the operation of an impact compaction roller. This can in turn lead to reduced wear on the compactor itself and on surrounding equipment and structures.

A further advantage of the illustrated roller 10, when compared for instance to impact compaction rollers as seen in the specification of ZA 96/6036, arises from the symmetrical shapes of the sides 22 which allow the roller to be bi-directional, i.e. it can be rotated in either direction over the soil surface, and typically at higher rotational speeds than an impact roller, with comparable results. This is particularly important in cases where rollers 10 are used in a reversible, self-propelled machine.

In the preferred roller 10 the compacting faces are smoothly and convexly curved, but it is within the scope of the invention for these faces to be made up of a large number of narrow, flat facets defining, in combination, a generally convex surface.

PCT/GB98/01400 (WO 98/51866) describes an impact compaction machine which incorporates an auxiliary drive arrangement to apply an auxiliary rotary drive to the impact compactor masses or rollers of the machine. This may be necessary when, for instance, the salient points of the rollers have a tendency to dig into or slide on the soil surface. The auxiliary drive arrangement operates to restore the angular velocity of the rollers for normal operation to continue. It is also within the scope of the present invention for an auxiliary drive arrangement, similar to that described in WO 98/51866, to be incorporated in the compaction machine.

Various other modifications are also within the scope of the invention. For instance, while reference has been made to substantially continuous application of pressure to the soil surface and substantially continuous movement of the instantaneous centre of rotation about the full extent of the compacting surface, minor localised deformations, for instance recesses, in the compacting surface, can be tolerated while still achieving desirable levels of surface compaction.

CLAIMS

1.

A soil compaction roller comprising a multi-sided, out-of-round, peripheral compacting surface which can roll over a soil surface which is to be compacted, the compacting surface being defined by a plurality of angularly spaced salient points and a corresponding plurality of compacting faces, each compacting face being outwardly convex in shape and extending continuously between two adjacent salient points.

2.

A soil compaction roller comprising a multi-sided, out-of-round, peripheral compacting surface which can roll over a soil surface which is to be compacted and which is defined by a plurality of angularly spaced salient points and intermediate compacting faces which are outwardly convex in shape and extend between the salient points, whereby when the roller is operative with the compacting surface rolling over the soil surface, the roller rises up on each salient point in turn, storing potential energy, and thereafter rolls downwardly onto the succeeding compacting face to transmit the stored potential energy to the soil surface to compact it, the instantaneous centre of rotation of the compacting surface, where it contacts the soil surface during rolling, moving continuously about substantially the full extent of the compacting surface.

3.

A soil compaction roller according to either one of the preceding claims wherein the salient points are equi-angularly spaced about a central axis of the roller and are equidistant from that axis.

4.

A soil compaction roller according to claim 3 wherein each compacting face is symmetrical about a radial bisector of the two salient points between which the compacting face extends.

5.

A soil compaction roller according to any one of the preceding claims wherein each compacting face is smoothly curved.

6.

A soil compaction roller according to any one of claims 1 to 4 wherein each compacting face comprises a plurality of flat facets which in combination form an outwardly convex shape.

7.

A soil compaction roller according to any one of the preceding claims comprising a first series of wear plates defining the salient points and a second series of wear plates defining the compaction faces.

8.

A soil compaction roller according to claim 7 comprising a central hub and a plurality of spokes connecting the wear plates of the second series to the hub.

9.

A soil compaction roller according to claim 8 comprising stiffening ribs located internally of the wear plates at the lateral edges of the wear plates, the stiffening ribs being connected to the wear plates and to the spokes.

10.

A soil compaction machine comprising a soil compaction roller according to any one of the preceding claims.

11.

A soil compaction machine according to claim 10 which comprises a pair of the soil compaction rollers arranged side by side with one another.

12.

A soil compaction machine according to claim 11 wherein the soil compaction rollers are mounted on a common axle.

13.

A soil compaction machine according to claim 11 wherein the soil compaction rollers are suspended independently on separate axles.

14.

A soil compaction machine according to claim 11 which is self-propelled.

15.

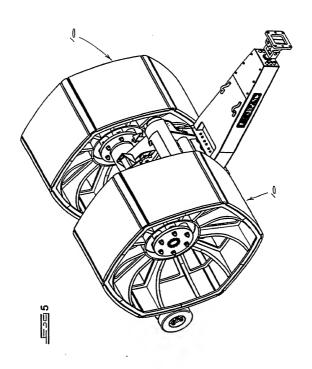
A soil compaction machine according to claim 11 which includes coupling means for coupling the machine to a tractive vehicle.

16.

A soil compaction machine according to claim 11 and comprising means for delivering an auxiliary rotary driving force to each roller.

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COMBINED DECLARATION (Includes Reference to P	ON FOR PATENT APPLICATION , rovisional and PCT International	AND POWER OF ATTORNEY Applications)	ATTORNEY'S DOCKET NUMBER
My residence, post office I believe I am the origina	elow) of the subject matter which	tated below next to my name; one name is listed below) or an ori is claimed and for which a patent i	ginal, first and joint inventor (if s sought on the invention entitled:
the specification	of which (check only one item b	pelow):	
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3	November 1999		
	mended under PCT Article 19	(161111-)	
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		ontents of the above-identified speci	fication, including the claims, as
I acknowledge the duty 37, Code of Federal Re	to disclose to the Office all info egulations, §1.56.	rmation known to me to be material	to patentability as defined in Title
of America listed below PCT international appli	or of any PCT international app, and have also identified below a cation(s) designating at least one	United States Code, §119 (a)-(e) of lication(s) designating at least one cany foreign application(s) for patent country other than the United State application(s) of which priority is	any foreign application(s) for patent ountry other than the United States or inventor's certificate or any s of America filed by me on the claimed:
PRIOR FOREIGN/PCT	APPLICATION(S) AND ANY P	RIORITY CLAIMS UNDER 35 U.	S.C. §119:
COUNTRY (if PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. §119
SOUTH AFRICA	98/10205	9 NOVEMBER 1998	<u>X</u> Yes No
			YesNo
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I hereby claim the benefit below.	t under Title 35, United States Co	ode § 119(e) of any United States p	
(Application Nur	mber)	(Filing Date)	
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COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (CONTINUED) (Includes Reference to Provisional and PCT International Applications)

ATTORNEY'S DOCKET NO. 025455/093

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the Office all information known to me to be material to the patentability as defined in Title 37, Code of Federal Regulations \$1.56, which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

U.S. APPLICATIONS				STATUS (check one)			
U.S. APPLICATION NUMBER		U.S. FILING DATE	PATENTED	PENDING	ABANDONED		
PCT A	PPLICATIONS DESIGNATING	PAFILO					
PCT APPLICATION NO.	PCT FILING DATE	U.S. APPLICATION NOS. ASSIGNED (if any)					
PCT/IB99/01784	08/11/99	09/830,403		Х			

Thereby appoint the following attorneys and agent(s) to prosecute said application and to transact all business in the Patent and Trademark Office connected therewith and to file, prosecute and to transact all business in connection with international applications directed to said invention:

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

	COMBINED DECLARATION FOR PATENT APPLICATION AND PO	ATTORNEY'S DOCKET NO.			
	(includes reference to Provisional and PC1 International Applicat	025455/			
i	FULL NAME OF SOLE OR FIRST INVENTOR COOK, ERIC JOHNSTONE	SIGNATURE AND SIGNATURE	ZAX	DATE 4 May 01	
	RESIDENCE 57 SOMERSET STREET, FERRYVALE 1/91 NICLET SOI	MERSET STREET, FERRYVALE, 1491, NIGEL, SOUTH AFRICA			
-	POST OFFICE ADDRESS AS ABOVE	SOUTH A	FRICAN		
	FULL NAME OF SECOND JOINT INVENTOR, IF ANY	<u> </u>			
V	MIJBURGH, CHRISTOFFEL AVRIL	SIGNATURE	7.	DATE 30 (4) 01	
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I	POST OFFICE ADDRESS AS ABOVE	5 000 000 11111111111111111111111111111	SOUTH AF	TITOAN	
l	FULL NAME OF THIRD JOINT INVENTOR, IF ANY	SIGNATURE		DATE	
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	FULL NAME OF FOURTH JOINT INVENTOR, IF ANY	SIGNATURE		DATE	
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no Trace	FULL NAME OF FIFTH JOINT INVENTOR, IF ANY	SIGNATURE		DATE	
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10.	FULL NAME OF SIXTH JOINT INVENTOR, IF ANY	SIGNATURE		DATE	
· iiiii	RESIDENCE		CITIZENSHIP	,	
	POST OFFICE ADDRESS				
	FULL NAME OF SEVENTH JOINT INVENTOR, IF ANY	SIGNATURE		DATE	
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1	FULL NAME OF EIGHTH JOINT INVENTOR, IF ANY	SIGNATURE		DATE	
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